

Supervisors and Managers PMAP Training MODULE 1

NIH implemented the new Performance Management Appraisal Program (PMAP) in June 2006. As part of the implementation process, it is mandatory that all managers, supervisors and employees complete PMAP training.

We are required to document and report to HHS the completion of this training by all staff in ORS and ORF.

Due to system problems with the HHS Learning Portal on-line training we are providing the following PDF documents that contain screen captures of the PMAP Supervisors Training and Employee Training modules. All staff is asked to read the appropriate documents on line and certify completion on an electronic confirmation page.

Performance Management Appraisal Program

Introductory Videos

Welcome to HHS' online training for the new Performance Management Appraisal Program. Please click below, on each picture, to view important welcoming/introductory video messages from Deputy Secretary Azar and Nancy Bagley from the Office of the Secretary. After viewing both of these videos you can begin your online training. If you can not access the videos by clicking on the pictures, please click the link below each picture to view a transcript of the video messages. Please note, if you do not view each of the videos, in their entirety, you will not receive completion status for this section of the training.



[View Transcript](#)



[View Transcript](#)

Hello, I'm Alex Azar, the Deputy Secretary of Health and Human Services. I'd like to welcome you to this online training for our new HHS Performance Management Appraisal Program.

Our mission at HHS is to ensure the health and well-being of Americans. We do this by providing for effective health and human services. Fostering strong, sustained advances in the sciences that underlie medicine, public health, and social services.

Each one of us has the responsibility to uphold and promote this mission for our efforts have a direct impact on the lives of millions of Americans.

The new Performance Management Appraisal Program is a tool designed to assist HHS employees to achieve organizational and individual performance goals. There are two types of training, supervisory and non-supervisory. The non-supervisory employee training is designed to provide HHS employees with the specifics of this program and clear instructions regarding their role in the performance management process. The supervisory training is designed to give HHS managers and supervisors succinct information and instructions on how to enact the system of setting goals and measurements that make clear distinctions between levels of employee performance and results. In order for this program to work efficiently and effectively, it is imperative that all HHS employees complete the appropriate type of training, supervisory or non-supervisory, depending on your position, within the timeframes established by your Operating or Staff Division. After you complete your training, your Operating or Staff Division will invite you to an information and question and answer briefing session.

So, starting next quarter, please join me in the implementation of the new Performance Management Appraisal Program. Thank you for your hard work and dedication.

Hi, I am Nancy Bagley, from the Office of Human Resources within the Office of the Secretary. Welcome to this online training for our new HHS Performance Management Appraisal Program. As you will learn during this training, this program is established to provide us, the employees of HHS, with a tool by which we link performance to carrying out the Agency's goals.

It is our hope that each and all of us are serving the American public by performing our jobs with "world-class service" as our goal.

The establishment of the performance plan is a collaborative effort between you and your supervisor. During the course of the performance year, your supervisor is expected to provide you with candid, constructive feedback about your performance. In the new program, we are looking for meaningful distinctions in performance and rewarding accordingly. The program is a multi-tiered system in which your performance will be rated within the defined levels of the system. You will learn more about this during this online training.

Please take your time when going through this training. Be sure to read and understand how this system works. We are asking that you complete the training and the practice exercises. Once completed successfully, you will be credited with having finished this training.

As the Deputy Secretary for HHS mentioned, after completion of this training, your Operating or Staff Division will invite you to an information and question and answer briefing session. While completing this online training, please make a note of any questions you have and be sure to ask these questions at the information briefing session you attend.

Again, thank you for your time and attention.

If you have any feedback, questions, issues, or concerns about the Performance Management Appraisal Program, please provide this information using the training evaluation link provided at the end of this training.

Thank you for your professionalism and commitment to our mission.

Performance Planning

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Welcome to HHS' online training for the new performance management process called the Performance Management Appraisal Program (PMAP). The new Performance Management Appraisal Program provides a systematic approach to assist HHS employees in achieving organizational and individual performance goals. This program focuses on three key objectives:

- Improving performance and accountability;
- Providing clear expectations and feedback on progress toward target outcomes; and
- Rewarding and recognizing exceptional performance for achieving challenging outcomes.

This year, PMAP will take us in a new direction from the past, when most of our performance evaluation systems were based on the pass/fail rating system. Under our new, 4-level PMAP, employees will collaborate with their supervisors to set performance expectations and measures. Employees will be evaluated on objective performance plans that contain performance expectations and measures that cascade from, and link to, HHS-wide, service, regional and unit goals.

Your employees' success is often a reflection of your own leadership skills and is a vital indication of workforce stability. As a supervisor, your role is to set expectations, gather data, and provide continuous feedback to your employees to assist them in utilizing their skills, expertise, and ideas to produce results. An effective employee performance management system is linked to agency mission and goals, has clear performance measures, and truly recognizes and rewards outstanding performance. In this course you will learn how to develop each of the components of the performance plan for the employees you supervise.

I'm Wormy, and I am here to help you through this training program. If you click on my apple, I will share key points from the lesson. Click on the apple again, and I'll go away.



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Lesson Summary

Post-Test

This course provides you with the important information and skills needed to develop each of the components of a performance plan and how to communicate performance expectations to your employees.

After completing this lesson/course, you should be able to do the following:

- Understand and apply the principles of the HHS Performance Management Appraisal Program.
- Recognize the steps in the performance planning process.
- Identify the definition and characteristics of performance elements.
- Identify what performance standards should measure.
- Identify methods for monitoring performance.
- Recognize the elements of an effective performance plan.

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Adopting a New Performance Culture at HHS

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Lesson Summary

Post-Test

A focus of the new HHS program is the linkage between individual performance ratings and recognition through a monetary award. This shift to linking monetary recognition is not a new concept in the public sector, and can be successful in HHS if managers strive to understand and use the system correctly. It is best managed as a culture change. Change, while sometimes challenging, is easier to accept if supervisors and employees understand that this program is evolving, and that in time we can perfect our approach if we are committed to the basic tenets. You, as a supervisor, in many cases for the first time, will be expected to make decisions that affect your awards budget and your staff.

In recent years some components within HHS have adopted a pass/fail appraisal system. The pass/fail appraisal system placed the retention-level performance at Fully Successful or equivalent (pass). The pass/fail eliminated Minimally Successful (the level of performance below Fully Successful but above Unacceptable) and provided no further distinctions above the Fully Successful level.

It is also our goal to shift HHS' culture into one that views the fully successful level of performance as the norm. It is the goal of HHS to inspire all employees to maximize their performance potential, and contribute fully to the agency and organizational missions and goals.



Pass/fail systems don't
provide enough information to
the employee or agency.

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Identifying Meaningful Distinctions in the Levels of Performance

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In order for this new program to achieve the required culture shift, it's important that supervisors make meaningful distinctions between Fully Successfully and Exceptional levels of performance. This will require that supervisors define performance expectations that reflect job requirements and accurately assess employee's contributions. Employees need to know how they can exceed the Fully Successful level outcomes/critical elements, as indicated in performance plans, what they can expect if the performance awards programs are to be viewed as fair. Supervisors need to be able to defend all awards. If there is a perception of inequity, it can undermine the view of ratings and the awards. In the Federal Government, an employee's salary is the compensation for meeting work expectations. That suggests that awards would be granted to your organization's top performers.

Awards were officially de-linked years ago, but in practice many organizations have continued to effect payouts at the end of a rating cycle. In the new system, this practice will now be universal and all performance awards will follow the conclusion of a rating cycle and be linked to the summary rating. Since, in many STAFFDIVs/OPDIVs, there is currently no linkage of performance ratings to a monetary award, the ratings have carried no budgetary consequences. The perception being that many of the ratings given on the mutli-teired systems that have existed at HHS have been inflated for years. It is because of the perception that ratings at HHS have been inflated for years, that culture shift that is about to happen here at HHS is necessary. In every organization there are top-performers who advance the mission of the organization. There is no "right" distribution of ratings, but our goal at HHS is to make meaningful distinctions in the levels of performance and assign ratings that are more realistic and fair.

Supervisors must make meaningful distinctions between levels for ratings to be fair.



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The following are some highlights of the HHS Performance Management and Appraisal Program:

- Utilizes cascading concepts to link performance requirements in all OPDIVs/STAFFDIVs to HHS strategic planning initiatives and the HHS 20 Department Objectives
- Uses only critical elements
- Has four levels for individual and summary ratings
- Uses numerical system to derive summary rating
- Links awards to performance and defines award payment amounts for employees rated Exceptional (2.5% to 5%) and Fully Successful (up to 2%)
- Establishes minimum appraisal period as 90 days
- Establishes appraisal cycle as the calendar year

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HHS' PMAP covers all DHHS employees, non-SES managers, supervisors, and [team leaders](#). The following are **not** covered under this system:

1. A member of the Senior Executive Service (ES);
2. An employee appointed to the excepted service under Schedule A 213.3102(o) whose appointment is limited to 1 year or less;
3. A fellow appointed under Section 207(g) of the Public Health Service Act, as amended;
4. An expert or consultant;
5. A member of an advisory committee;
6. A person serving under an appointment in the excepted service having a time limit of less than 90 days;
7. A member of the DHHS uniformed service, i.e., a PHS Commissioned Corps officer;
8. A resident, intern, or other student employee who receives a stipend under section 5352 of 5 U.S.C.;
9. An employee on detail to a public international organization;
10. An employee in a position for which employment is not reasonably expected to exceed 90 calendar days in a consecutive 12-month period;
11. An employee outside the United States who is paid in accordance with local native prevailing wage rates for the area in which employed;
12. An Administrative Law Judge appointed under Section 3105 of Title 5, U.S. Code;
13. An individual appointed by the President; and
14. An individual who (a) is serving in a position under a temporary appointment for less than one year, (b) agrees to serve without a performance evaluation, and (c) will not be considered for a reappointment or for an increase in pay based in whole or in part on performance.



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Appraisal	means the process under which performance is reviewed and evaluated.
Appraisal period	means the established period of time for which an employee's performance will be reviewed and a rating of record prepared. The appraisal period covers the Calendar Year (January 1 through December 31). In DHHS, the minimum appraisal period is 90 days. An employee must perform work under a performance plan in place for a <u>minimum of 90 calendar days</u> to receive a rating.
Critical element	means work assignments or responsibilities of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable. <u>All</u> elements in the performance plan are <u>critical</u> .
Performance	means an employee's accomplishment of assigned work as specified in the critical elements of the employee's position.
Performance appraisal system	means the framework of Department-wide policies and parameters established for planning, monitoring, developing, evaluating, and rewarding individual performance, and for using the resulting performance information in making personnel decisions.
Performance award	means a performance-based, lump sum cash payment to an individual employee based on the employee's rating of record. A performance award does <u>not</u> increase base pay.
Performance awards budget	means the amount of money allocated by the Department/OPDIV for distribution as performance awards to covered employees.
Performance plan	means all of the written performance elements that an employee is expected to accomplish during the appraisal period. These objectives are linked to specific program and management outcomes and are linked to the Department's and OPDIV's strategic plans. These objectives are derived from the OPDIV Head's performance plan and are cascaded, as appropriate, to all employees. A performance plan must include all critical elements and their performance standards.

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Performance rating	means the written appraisal of performance compared to the performance standards for each critical element on which there has been an opportunity to perform for the minimum period (i.e., 90 calendar days). A performance rating includes the assignment of a summary rating level.
Performance standard	means a statement of the performance threshold, requirement, or expectation for an element that must be met to be appraised at a particular level of performance. A performance standard may focus on, for example, factors such as quality, quantity, timeliness, and manner of performance.
Progress review	means communicating with the employee about his/her performance to date, compared to the performance standards for each element. Progress reviews are important for providing consistent performance feedback to employees and can be conducted at any time during the appraisal period. One formal progress review is required and is generally conducted midway through the appraisal period. Ratings are not assigned for progress reviews.
Quality Step Increase	means a permanent increase in basic pay, equivalent to one step within the grade.
Rating Official	means the official who is responsible for informing the employee of the critical elements of his/her position, establishing performance requirements, providing feedback, appraising performance, and assigning the summary rating. The rating official is ordinarily the employee's immediate supervisor.
Rating of record	means the performance rating prepared at the end of an appraisal period for performance over the entire appraisal period. In most cases, a summary rating (see definition below) will become the rating of record.
Reviewing official	means an official with review and approval authority at a level higher than the rating official. Reviewing officials are ordinarily two supervisory levels above the employee.
Strategic planning initiatives	are Department and agency goals, agency strategic plans, annual performance plans, organizational work plans, Presidential initiatives, and other future-focused related initiatives.
Summary rating	means combining the written appraisal of each critical element (on which there has been an opportunity to perform for the minimum period, i.e., 90 calendar days) to assign a summary rating level. The rating official derives the summary rating from appraising the employee's performance during the appraisal period on each element.
Time Off Award	means an award granted to an employee, which allows the employee to take time off from work, with pay and without charge to annual leave.

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Post-Test

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Which of the following positions are covered under the DHHS performance management system?

- ☐ A. A consultant
- ☐ B. A PHS Comissioned Corps officer
- ☐ C. An intern
- ☒ D. A non-SES manager

Correct.

Submit

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

In DHHS, the minimum appraisal period is 30 days.

- ☐ True
- ☒ False

Correct.

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Match the term on the left with the best definition on the right.

A. Performance Standard

A. Performance rating prepared at the end of an appraisal period

B. Critical Element

B. Statement of the performance required to be appraised at a certain level

C. Rating of Record

C. Assignment or responsibility that must be completed successfully or overall performance is unacceptable

D. Summary Rating

D. A total derived by combining the written appraisal of each critical element

Correct.

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The performance planning process consists of seven steps that begin by identifying organizational goals and then narrowing the scope to an individual within the organization. The seven steps of the process are:

1. [Look at organizational goals](#)
2. Determine work unit outcomes
3. Determine individual outcomes
4. Develop performance elements
5. Review established standards
6. Decide how to monitor performance
7. Check the plan



One Department. One Direction. One HHS.

20 Department-Wide Objectives

Final FY 2006: November 16, 2005

1. Transform the Healthcare System

- a) Increase access to high quality, effective health care that is predictably safe.
- b) Accelerate the adoption and use of an electronic health information infrastructure in the U.S.
- c) Strengthen and expand the health care safety net.
- d) Reform the medical liability system.
- e) Reduce disparities in ethnic and racial health outcomes.

2. Strategically Manage Human Capital

- a) Meet the OMB/OPM mandated "Green" Standards for Success.
- b) Complete the HHS Strategic Human Capital Plan.
- c) Fully implement a new single Department Performance Appraisal System by December 31, 2006.
- d) Identify and reduce workforce competency gaps.

3. Modernize Medicare and Medicaid

- a) Transform Medicare and Medicaid by increased use of effective preventive services, increased provision of information to beneficiaries to make informed choices and increased rewards for high quality care.
- b) Continue to implement the Medicare Modernization Act.
- c) Increase the number of providers paid for good performance.
- d) Strengthen the programmatic and financial stability of the Medicaid program.

4. Complete the FY 2006 Competitive Sourcing Program

- a) Meet the OMB mandated "Green" Standards for Success.
- b) Submit a complete FAIR Act inventory and Reason Code A justifications to ASAM/OCS by April 28, 2006.
- c) Submit a complete FY 2007 Competitive Sourcing Plan in accordance with the OMB approved HHS "Green" Plan to ASAM/OCS by June 21, 2006.
- d) Complete the FY 2006 Competitive Sourcing Plan as scheduled and, for studies completed in FY 2006, document positive anticipated net savings.

5. Advance Medical Research

- a) Maintain a medical and science research portfolio to improve Americans' health and well-being.
- b) Increase the understanding of basic biomedical and behavioral science and how to prevent, diagnose and treat disease and disability.
- c) Strengthen the mechanisms for ensuring the protection of human subjects and the integrity of the research process.
- d) Increase the translation of biomedical research into medical practice to improve the health of all Americans.

6. Improve Financial Performance

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Implement the Unified Financial Management System for the Program Support Center to drive toward FFMIA requirements.
- c) Improve the access and use of financial information through implementing the “Green Plan,” improving the quality of the PAR and the implementation of new A-123 standards.

7. Secure the Homeland

- a) Increase the capacity of the health care system to respond to public health threats from bio-terrorism as well as natural causes.
- b) Achieve continuous improvement in the safety of food, drugs, biological products and medical devices.
- c) Increase the nation’s preparedness for a potential disease pandemic.
- d) Increase the timeliness and accuracy of domestic and international public health surveillance.

8. Expand Electronic Government

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Implement the HHS E-mail Consolidation goal.

9. Protect Life, Family and Human Dignity

- a) Promote family formation and healthy marriages.
- b) Promote the economic self-sufficiency and well-being of vulnerable families, children and individuals.
- c) Improve the safety, stability and healthy development of our Nation’s children and youth.

10. Improve Budget and Performance Integration

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Improve program performance and efficiency using PART reviews and other tools.
- c) Submit timely performance budget justifications to the Department, OMB and Congress that clearly link the accomplishment of performance goals with the level of funding requested.

11. Improve the Human Condition Around the World

- a) Improve the economic and social development of distressed communities.
- b) Implement a strategy to support emerging democracies with health diplomacy.
- c) Expand the international network of infectious disease surveillance.
- d) Demonstrate successful implementation of the goals of the President’s Emergency Plan for HIV/AIDS Relief.

12. Implement the Real Property Asset Management Program

- a) Meet the OMB and HHS mandated “Green” Standards for Success for FY 2006.
- b) Comply with HHS Construction Delivery and Program Requirements in accordance with the September 8, 2005, memorandum, Establishing HHS Performance Measures.
- c) Meet the OMB and HHS socioeconomic objectives for Historic Preservation and Environmental Management.

13. Broaden Health Insurance and Long-Term Care Coverage

- a) Meet the OMB mandated “Green” Standards for Success for the PMA initiative: Broadening Health Insurance Coverage through State Initiatives.
- b) Increase the percentage of adults and children who have access to quality health care services through private health insurance.
- c) Increase the awareness of the need for long-term care planning and expand the options available to consumers, including community based care.

14. Achieve Performance Accountability

- a) Meet all deadlines to satisfy OPM requirements for SES Plan recertification, including timely development and approval of performance contracts.
- b) Align OP/STAFF/DIV and individual performance expectations with the Departmental Top 20.

15. Promote Quality, Relevance & Performance of Research and Development Activities

- a) Meet the OMB mandated “Green” Standards for Success for the PMA initiative: R&D Investment Criteria.
- b) Achieve a “Moderately Effective” or better for at least 75 percent of PARTed scientific programs.
- c) Develop GPRA goals that are consistent with the OMB R&D Investment Criteria.
- d) Continue to incorporate R&D criteria of quality, relevance and performance into the peer-review process.

16. Improve Grants Management Operation and Oversight

- a) Meet the OMB mandated “Green” Standards for Success for E-Gov/Grants.gov.
- b) Implement the Grants Systems Consolidation goal.
- c) Implement the Charitable Choice requirements.
- d) Implement the Grants.gov participation goals.

17. Emphasize Faith Based and Community Solutions

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Expand faith-based and community partnerships in providing effective health and human services.
- c) Increase the commitment to faith-based and community organizations.
- d) Inform and educate federal grantees, including state and local officials who administer funds, about the requirements of the Equal Treatment and Charitable Choice regulations.

18. Consolidate Management Functions and Streamline Administrative Operations

- a) Participate in acquisition initiatives including Acquisition Integration and Modernization (AIM), Strategic Sourcing and Balanced Scorecard.
- b) Implement the HHS Department-wide HSPD-12 plan in accordance with the established schedule.
- c) Participate in Departmental consolidation initiatives (e.g., Warehouse Realignment and Consolidation) and meet objective measures and deadlines established for all such initiatives.
- d) Meet small business procurement goals, as established by the Small Business Administration.
- e) Implement the CIO Consolidation goal.

19. Emphasize Healthy Living and Prevention of Disease, Illness, and Disability

- a) Reduce unhealthy behaviors and other factors that contribute to the development of chronic diseases (diabetes, obesity, asthma, heart disease, stroke and cancer).
- b) Increase childhood and adult immunization rates.
- c) Reduce the incidence and consequences of injuries, violence, substance abuse, mental health problems, unintended pregnancies and sexually transmitted diseases.
- d) Increase the independence and quality of life of persons with disabilities, including those with long-term care needs.
- e) Increase consumer and patient use of health care quality information.

20. Eliminate Improper Payments

- a) Meet the OMB mandated “Green” Standards for Success.
- b) Improve estimating tools for Improper Payments; continue to achieve error rate goals.

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Lesson Summary

Post-Test

The supervisor (rating official) develops the performance plans. At the discretion of the OPDIV/STAFFDIV Head, the next higher level (reviewing official) may review and approve the performance plan. In addition, virtually every federal agency requires that supervisors develop the performance plan in cooperation with the employee.

Employee input should be encouraged for the following reasons:

- Employees probably know more about their jobs than anyone else.
- They perform the duties on a daily basis.
- Their expertise adds value.
- Cooperation improves the chance of buy-in on the part of the employees during the annual performance appraisal.



Performance planning is a collaborative process.



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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

The employee develops the performance plan and the supervisor reviews and approves it.

- ☐ True
- ☒ False

Correct.

Submit

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The performance planning process begins with the organizational goals and focuses on the results of an employee's activities that support those goals. The process consists of seven steps:

- [Look at organizational goals](#)
- Determine work unit outcomes
- Determine individual outcomes
- Develop performance elements
- Review established standards
- Decide how to monitor performance
- Check the plan

Virtually every federal agency requires that supervisors develop the performance plan in cooperation with the employee.

Employee input should be encouraged for the following reasons:

- Employees probably know more about their jobs than anyone else
- They perform the duties on a daily basis
- Their expertise adds value
- Cooperation improves the chance of buy-in on the part of the employees during the annual performance appraisal



Linking performance to agency goals and involving employees in the process clarifies why their work is important

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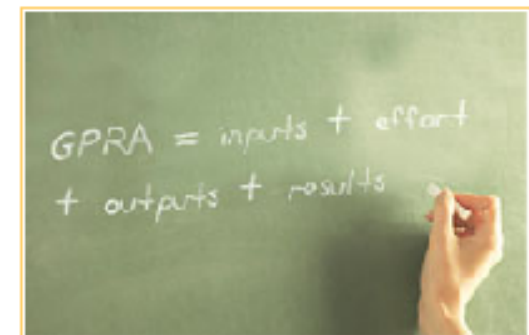
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Lesson Summary

Post-Test

The Government Performance and Results Act of 1993 (GPRA) requires federal agencies to have strategic plans that include goals and objectives. The GPRA also requires agencies to measure their outputs and results, **not** just their inputs and efforts.

Communicating these expected results to employees helps ensure that employees understand that their performance affects the agency as a whole. The requirement to measure results rather than inputs affects the way that performance plans are written. Rather than focusing on the tasks that an employee performs, agencies should focus on the outputs of each employee that support the agency mission.



For example, an employee who has a critical element of "written products that satisfy customers" in his or her performance plan is likely to perform better in this area knowing that the agency has a strategic goal of pleasing all customers. The element is also written in such a way to reflect the results of the employee efforts. In the past, elements were often written as tasks that were copied from the job description, but this method fails to connect individual performance to strategic goals and does not focus on results.

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Step 1: Review Organizational Goals

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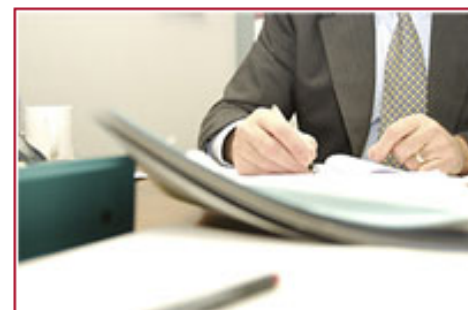
Lesson Summary

Post-Test

In order to write performance plans that link individual performance to organizational goals, you must first review your agency's strategic plan and other pertinent documents that contain organizational goals, objectives, and performance measures that are already in place.

Make sure you understand the following:

- Agency general outcome goals
- Specific performance goals for your program area
- Performance measures that are already in place



Check your strategic plan for agency and component goals.



Performance Planning

Link Individual Accomplishments to Organizational Goals

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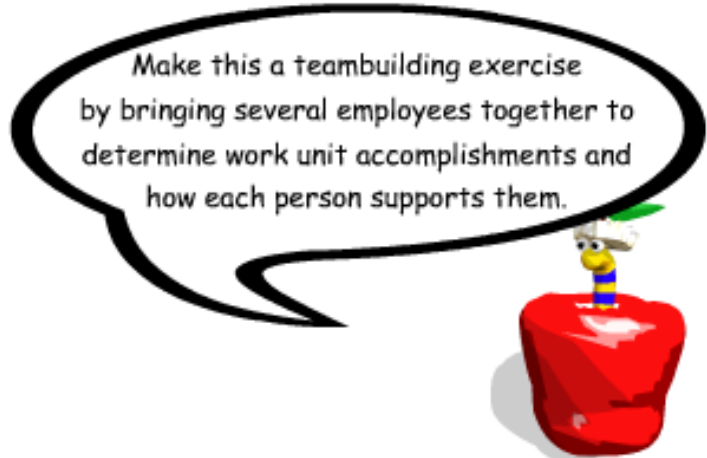
Step 2: Determine Work Unit Accomplishments

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The next step in the process is to determine your work unit outcomes. A work unit is a small group of employees (or a team), usually supervised by the same manager. The easiest way to determine the work unit outcomes is to use the "[Goal Cascading Method](#)" which links your work unit to the organization as a whole. Follow these steps:

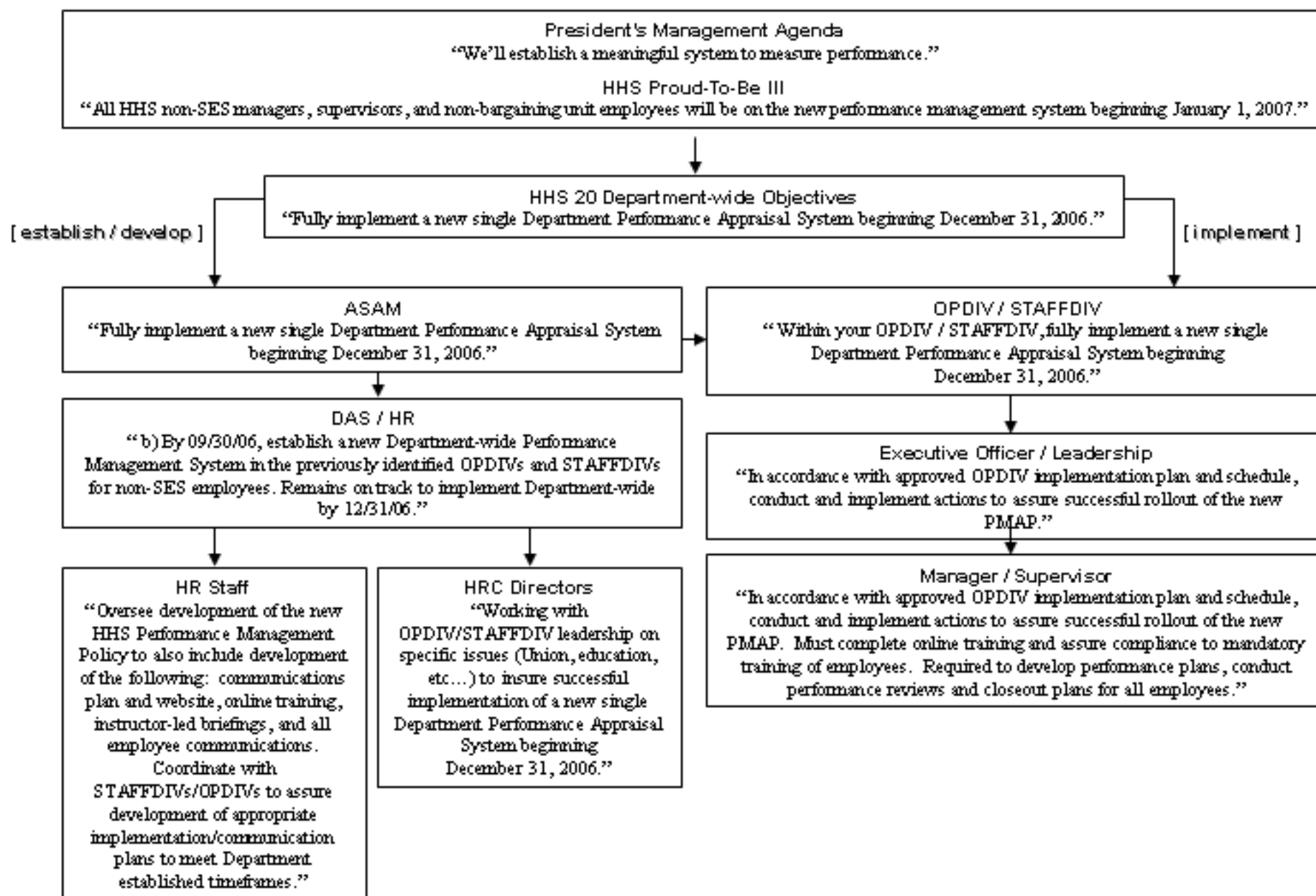
- Identify the agency's specific goals and objectives
- Determine which agency goals your work unit affects
- Identify the product or service that your work unit produces that helps the agency reach its goals

Performance plans must include one or more outcomes that include or track back to the "One HHS 20 Department-Wide " Program and Management Objectives. This cascade approach should ensure that performance plans for all employees support the organizational goals of the agency. The "cascade" element should be identified in the following way under the appropriate outcome in the performance plan: "This element also relates to and supports objectives in the "One HHS 20 Department-Wide" Program and Management Objectives, specifically [cite the specific objective]."



Make this a teambuilding exercise by bringing several employees together to determine work unit accomplishments and how each person supports them.

Goal Cascading Document



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Determine Individual Accomplishments

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The third step in the process is to determine the outcomes of the individual employee within the work unit. You have already determined what the organizational goals are and how the work unit supports them, so now you need to consider what each employee does to produce results. To do this, make a list of the employees within the work unit, and write what each produces to support the work product.

Since performance plans should focus on results rather than activities, you want to consider the goods or services that the employee produces rather than the tasks that they perform. The following example shows what each employee of a work unit that produces a newsletter accomplishes:

- Editor: list of topics and articles that are edited
- Writer: recommendations for articles and drafts of articles
- Graphic artist: recommendations for layout and a camera-ready version

Notice that the outcomes of each employee are written as nouns, not verbs which would only indicate activities rather than results.

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Goal Cascading

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Performance plans must include one or more outcomes that include or track back to the “One HHS” Program and Management Objectives. This cascade approach should ensure that performance plans for all employees support the organizational goals of the agency. For example:

- **An HHS objective is to prevent disease and illness.**
- **A work unit within the agency is responsible for developing educational materials promoting childhood and adult immunizations.**
- **A web designer within this work unit has an outcome on her performance plan that requires that she maintain a website that contains immunization information and active links to local resources.**

The “cascade” element should be identified in the following way under the appropriate outcome in the performance plan: “This element also relates to and supports objectives in the “One HHS” Program and Management Objectives, specifically [cite the specific objective].”

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Which one of the following is an outcome rather than an activity?

- ☐ A. Discards obsolete material
- ☒ B. Program area files that are complete
- ☐ C. Makes additions to reference materials
- ☐ D. Obtains reference material

Correct.

Submit

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Lesson Summary

Post-Test

Looking at the goals of your organization as a whole is the first step in developing a performance plan. Next you should determine the outcomes of your work unit and then the accomplishments of individuals within that work unit. When determining individual outcomes remember:

- Each outcome should be a noun, not a verb
- Each individual produces goods or services that support the outcome of their work unit
- Individual and work unit outcomes should be linked to organizational goals

Performance plans must include one or more outcomes that include or track back to the "One HHS 20 Department-Wide Objectives". This cascade approach should ensure that performance plans for all employees support the organizational goals of the agency. The "cascade" element should be identified in the following way under the appropriate outcome in the performance plan: "This element also relates to and supports objectives in the "One HHS 20 Department-Wide Objectives", specifically [cite the specific objective]."

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Definition

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A performance element is defined as a component of a position sufficiently important to warrant development of performance standards and rating of performance. A performance element:

- Is a distinguishable unit of work required of the position.
- It may be related to a duty or task in a position description, but it is not required to be taken directly from the position description.
- Should outline the reason for the position .

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Develop Performance Elements

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Lesson Summary


Post-Test

All elements in the HHS performance plan are **critical**.

The HHS performance plan has two categories of critical elements:

1. Administrative Requirements
2. Individual Performance Outcomes

The Administrative Requirements (Part III of the Performance Plan) will constitute one critical element. The individual performance outcomes include specific individual management and program outcomes that will contribute to the success of the OPDIV's and Department's strategic plans. There will be between three (3) and five (5) outcomes/results listed for each employee in the Performance Outcomes section.



Performance plans will have one critical element for administrative requirements and 3-5 for performance outcomes.

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Administrative Requirements

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Lesson Summary

Post-Test

The Administrative Requirements critical element describes successful performance in responsibilities that are common to most supervisory and non-supervisory employees. Supervisors should determine which of these areas applies to each position under his/her supervision. Not every position will include responsibility for every one of these areas. The areas that are covered by this critical element are shown below.

Ethics and Integrity	Includes the responsibility for maintaining a high standard of integrity in the discharge of official duties, and adherence to Government-wide and DHHS Standards of Ethical Conduct.
Performance Management	Performance management includes the process by which an employee is involved in improving organizational effectiveness in the accomplishment of agency mission and goals. For supervisors and team leaders, performance management encompasses planning work and setting expectations, continually monitoring performance, developing the capacity to perform, periodically evaluating and/or rating performance, rewarding excellent performance, and addressing poor performance.
EEO/Diversity	Includes support for EEO and diversity in the workplace, and fostering a cooperative environment where diverse opinions are encouraged and conflicts are resolved at the earliest stage possible.
Employee Development	Includes management and employee efforts to enhance individual or staff performance, as well as obtaining skills, knowledge, and abilities for projected assignments, and/or potential future career advancement.
Workforce Activity	Includes planning, organizing, assigning, and/or performing work; allocating resources (if supervisory); adjusting to change; and participating in improvements leading to attainment of organizational goals.
Customer Service	Includes responsiveness to customers consistent with Department and OPDIV expectations and standards.
Recovering Improper Payments	Applies to staff having recovery responsibilities related to grants, procurement, and financial payments.

Supervisors must determine which areas apply to each position.



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Characteristics

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Here are some important characteristics of performance elements.

Can be an important accomplishment, that stands alone - Performance elements such as human resources management for supervisors and customer service or safety for employees are examples of elements that stand-alone because they are mandated by the government or by the agency.

Can be a grouping of related accomplishments - All of the following **accomplishments** should be grouped together under a performance element for managers titled "human resources responsibilities are managed properly":

- A qualified staff is in place
- Performance appraisals completed for all staff
- Leave that is approved properly
- Employees that are developed and trained appropriately
- Employees that are counseled regarding performance and conduct
- Non-performing employees and employees whose conduct has become a problem that have been disciplined appropriately
- Union issues under the collective bargaining agreement that have been dealt with
- A workplace that is free of harassment in all forms

Must be related to the purpose and level of the position - Preparing an organization's quarterly report to headquarters may **not** be explicitly stated as a task in the position description, but it may be the most important duty of the position and therefore worthy of its own performance element.

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Additional Characteristics

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Should be limited to three to five elements - Many agencies started out by encouraging supervisors to develop as many elements as possible, which resulted in performance plans with ten or more elements. Three to five elements are generally a good number for supervisors to be able to handle. Generally, they should be related to key goals or objectives of the position as it fits into the organization.

Should be understandable to the employee - Employees and supervisors need to discuss performance elements. Employees need to know and understand:

- What is being appraised
- Why it is being appraised
- How their position and performance relate to the mission, goals, and objectives of the organization

Should relate to performance, not conduct - While there is a tendency to describe such things as tardiness and leave abuse as performance elements, these items reflect conduct, **not** performance, and should **not** be considered performance elements.



Ask for employee input when developing elements.

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Step 4: Develop Performance Elements

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Here is a checklist for you to follow as you develop performance elements from your task list and position description. Click on each item in the list to view additional information.

1. [Is the outcome a key aspect of the employee's job?](#)
2. [Is the element performed regularly? If not, is it critical in importance?](#)
3. [Does the employee have control over the outcome?](#)
4. [Do similar positions have similar responsibilities?](#)
5. [Was the element considered important in classifying the position?](#)
6. [Are there adverse consequences if the element is not performed well?](#)

Is the accomplishment a key aspect of the employee's job?

If yes, it probably is a performance element. If it is part of an entire process rather than an entity by itself, it should be combined with similar tasks to form the performance element. For example, "human resources management responsibilities" is a performance element, while "approving leave" is only a task.

Is the element performed regularly? If not, is it critical in importance?

If neither of these applies, it is probably part of a larger performance element or merely an additional duty.

Does the employee have control over the outcome?

If the employee has no control, he or she cannot be held accountable for its success. For example, if you cannot control the number of clients an employee deals with because they are visitors or callers, there is no sense holding the employee responsible for dealing with a certain number of callers.

Do similar positions have similar responsibilities?

You can save yourself a great deal of work by writing performance standards for the position(s) in question rather than for the employee. Employees with similar duties and responsibilities should have similar if **not** identical performance elements and standards.

Was the element considered important in classifying the position?

Those duties that are instrumental in determining the correct grade level for the position are also most likely to be performance elements. However, a one-to-one ratio between duties in the position description and performance elements is **not** necessarily appropriate.

Are there adverse consequences if the element is not performed well?

Accomplishments having the largest potential adverse impact on other employees or the agency will normally be identified as performance elements.

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Practice Activity > Question 1

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

It would be appropriate to develop a performance element regarding leave abuse.

☐ True

☒ False

Correct.

Submit

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Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

Which of the following characterize performance elements?

- ☐ A. Should be broken down into discrete steps
- ☒ B. Must be related to the purpose and level of the position
- ☐ C. Should have at least 10 performance elements for any position
- ☐ D. Should include conduct as well as performance

Correct.

Submit

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A performance element is defined as a component of a position sufficiently important to warrant development of performance standards and rating of performance.

- It is a distinguishable unit of work that is required of the position
- It may be the same as a duty or task of a position description, but it is **not** required
- It should outline the reason for the position

Important characteristics of performance elements include:

- Can be an important aspect of the position that stands alone
- Can be a grouping of related outcomes
- Must be related to the purpose and level of the position
- Should be limited to three to five elements for most positions
- Should **not** contain too many sub-elements
- Should be understandable to the employee
- Should relate to performance, **not** conduct

Following a checklist as you develop performance elements will help to ensure that all the essential performance elements are incorporated for the specific position.



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Definition:

Performance standard means a statement of the performance threshold, requirement, or expectation for an element that must be met to be appraised at a particular level of performance. A performance standard may focus on, for example, factors such as quality, quantity, timeliness, and manner of performance.

Performance standards are expressions of performance that measure the following:

- Quality - How well something should be performed, often described as the accuracy rate
- Quantity - How much or how many to perform, the amount of work to be produced in a given amount of time
- Timeliness - When or how quickly the employee must complete a task
- Cost-effectiveness - Dollar savings or cost control for the Government.
- Individual goals and objectives - Individual performance goals related to the overall performance goals of the agency.
- Manner of performance - Traits determined to be necessary for the position and written in terms of observable behavior in the delivery of the work of the position. For example, "cooperative" is a trait, while "willingly shares information from job-related periodicals with other staff members, pointing out the relevancy of those articles to the mission of the agency" is clearly observable, a manner of performance.



A standard tells how well an employee must do something.

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HHS Levels of Performance

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HHS' has established the following as the levels of performance:

1. Exceptional
2. Fully Successful
3. Minimally Successful
4. Unacceptable

Each of these levels is explained in detail on the following pages.



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Exceptional Level

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Exceptional (E)

The employee performed as a model of excellence by surpassing expectations on a consistent basis. Indicators of performance at this level include outcomes that exceed Fully Successful level standards, for critical elements described in the annual performance plan, and as measured by appropriate assessment tools. Examples include:

1. Innovations, improvements, and contributions to management, administrative, technical, or other functional areas that impact outside the work unit and facilitate organizational recognition;
2. Increases in office and/or individual productivity;
3. Improved customer, stakeholder, and/or employee satisfaction, resulting in positive evaluations, accolades, and recognition; methodology is modeled outside the organization;
4. Flexibility and adaptability in responding to changing priorities, unanticipated resource shortages, or other obstacles;
5. Initiation of significant collaborations, alliances, and coalitions;
6. Leadership on workgroups or teams, such as those that design or influence improvements in program policies, processes, or other key activities;
7. Anticipates the need for, and identifies, professional developmental activities that prepare staff and/or oneself to meet future workforce challenges; and/or
8. Consistent demonstration of the highest level of ethics, integrity, and accountability in achieving specific HHS, OPDIV, and/or program goals; making recommendations that foster clarification, and/or influence, improvements in ethics activities.

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Fully Successful Level


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Fully Successful (FS)

The employee met all critical elements, as described in the annual performance plan, and as measured by appropriate assessment tools. Examples include:

1. Planned, well-organized, and complete work assignments that reflect requirements;
2. Decisions and actions that demonstrate organizational awareness including knowledge of mission, function, policies, technological systems, and culture;
3. Independent follow-up of actions and improvements that impact the immediate work unit;
4. Strong relationships with employees and/or clients: their priorities are understood; their interests are balanced with organizational demands and requirements; and necessary actions are effectively communicated to them. Employee/customer satisfaction is conveyed;
5. When serving on teams and workgroups, contributions are substantive and completed according to standards;
6. Resolution of operational challenges and problems without assistance from higher-level staff;
7. Acquires new skills and knowledge through traditional and other means, to meet assignment requirements; and/or
8. Demonstration of ethics, integrity and accountability that achieve HHS and agency goals.



Fully successful means good, solid performance.

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Minimally Successful


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Minimally Successful (MS)

The employee had difficulties in meeting expectations. This is the minimum level of acceptable performance for retention on the job. Improvement is desirable. Examples include:

1. Occasionally fails to meet assigned deadlines;
2. Work assignments occasionally require major revisions or often require minor revisions;
3. Application of technical knowledge to completion of work assignments is not reliable;
4. Occasionally fails to adhere to required procedures, instructions, and/or formats in completing work assignments;
5. Occasionally fails to adapt to changes in priorities, procedures, or program direction; and/or
6. The employee's impact on program performance, productivity, morale, organizational effectiveness and/or customer satisfaction needs improvement.



Supervisors should try to help minimally successful employees improve performance and contact your Human Resources Employee Relations Staff to discuss further

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Unacceptable

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Unacceptable (U)

The employee failed to meet expectations. Immediate improvement is essential for job retention. Examples include:

- Consistently fails to meet assigned deadlines;
- Work assignments often require major revisions;
- Consistently fails to apply adequate technical knowledge to completion of work assignments;
- Frequently fails to adhere to required procedures, instructions, and/or formats in completing work assignments; and/or
- Frequently fails to adapt to changes in priorities, procedures or program direction.

Supervisors must give meaning and context to the standards of performance. Supervisors must be able to explain each of the above performance standard levels.

What is the expected level of performance for HHS employees?



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Step 5: Review Performance Standards

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View Fully Successful as the Norm

Most employees view "fully successful" performance as a "C" or average rating. The actual definition of fully successful is good, solid performance, **not** a "C" rating at all. The average rating in some agencies is above highly successful. When fully successful is **not** viewed as the norm, ratings become less meaningful. Monetary performance awards per individual become less because more people than anticipated are receiving higher ratings yet the funds available for the awards remain the same.

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Match the level of performance on the left with the best example on the right.

A. Exceptional

☐ b

Completed assignments in a timely organized fashion in keeping with requirements

B. Fully Successful

☐ c

Assignments usually on time but sometimes in need of revisions to meet requirements

C. Minimally Successful

☐ d

Assignments are frequently late and often need to be revised in order to meet requirements

D. Unacceptable

☐ a

Completed work assignments and developed innovation in process that resulted in increases in office productivity

Correct.

Submit

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Make Meaningful Distinctions

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In order for this new program to achieve the required culture shift, it's important that supervisors make meaningful distinctions between fully successfully and exceptional levels of performance. This will require that supervisors define performance expectations that reflect job requirements and accurately assess employees' contributions. Employees need to know what they can expect if the performance awards are to be viewed as fair. Supervisors need to be able to defend all awards. If there is a perception of inequity, it can undermine the view of ratings and the awards.

In the Federal government, an employee's overall compensation includes base salary for assigned duties and responsibilities related to the level of the position, and additional compensation related to how well those duties are performed, normally reflected as a performance award. That suggests that awards would be granted to your organization's top performers. Awards were officially de-linked years ago, but in practice many organizations have continued to effect payouts at the end of a rating cycle. In the new system, this practice will now be universal and all performance awards will follow the conclusion of a rating cycle and be linked to the summary rating. Since, in many STAFFDIVs/OPDIVs, there is currently no linkage of performance ratings to a monetary award, the ratings have carried no budgetary consequences. The perception being that many of the ratings given on the multi-tiered systems that have existed at HHS have been inflated for years. Because of this history, therein lies the culture shift that is about to happen here at HHS. In every organization there are top-performers who advance the mission of the organization. There is no "right" distribution of ratings, but our goal at HHS is make meaningful distinctions in the levels of performance and assign ratings that are more realistic and fair.



A high-performing workforce is our goal. However, the exceptional level of performance is rare and difficult to achieve.

Performance Planning

Performance Measures and Standards

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A performance standard is a statement that tells an employee how well he must perform at an element to be rated at a certain level. HHS has established four levels of performance:

1. Exceptional: Employee surpasses expectations consistently and performs above fully successful.
2. Fully Successful: Employee completes work in keeping with requirements.
3. Minimally Successful: Employee does not always meet expectations and could improve.
4. Unacceptable: Employee does not meet expectations and needs to improve for job retention.

Supervisors must be able to describe performance expectations to employees at each of these levels so that the distinctions between levels are clear. In particular, supervisors should be careful in making distinctions between "Exceptional" and "Fully Successful" performance so that excellence is rewarded appropriately.

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Step 6: Monitor Performance

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The next step is to determine how to monitor employees' performance. Monitoring performance means measuring performance and providing feedback to employees. Agencies appraisal programs are required to provide ongoing appraisal, including progress reviews during the appraisal period. Determining how to monitor performance is an important part of developing the performance plan. How you monitor performance will depend on what kind of information you are looking for. To determine how to monitor performance, do the following:

- Determine what data to collect for each performance element, the source of the data, and how much to collect
- Determine when to collect data, who will collect it, and who will receive it
- Review existing reports for possible use as feedback reports
- Create feedback tables or graphs, if needed
- Try to design feedback processes that give feedback automatically

Once the best methods for monitoring performance are established, employees need to get feedback addressing their performance on elements and standards. Feedback that is specific, timely, and positive is most effective.



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Step 7: Check the Performance Plan

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Once you have the elements, you write them up and put them in the *form*. Before you write up the plan, check it to be sure it includes the elements that meet regulatory requirements and are effective. Confusing performance elements can lead to performance-based adverse action cases being overturned.

Use the following checklist as a guide to ensure that the elements you developed are effective and meet regulatory requirements:

- Is the range of acceptable performance clear? Are the performance expectations quantifiable, observable, and/or verifiable?
- Will employees understand what is required?
- Are the elements flexible? Can they be adapted readily to changes in resources or objectives?
- If your program permits appraising elements at levels above "fully successful" (or equivalent), can the "fully successful" level be surpassed? Is it possible for an employee's performance to exceed it?
- Are the critical elements results-oriented? Do they express outcomes rather than task?
- Does at least one of the critical elements relate and support the HHS 20 Objectives?

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Completing the Performance Plan

Employee Input

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As we mentioned earlier, getting employees involved in the planning process helps them understand the goals of the organization, what needs to be done, why it needs to be done, and how well it needs to be done. The planning process is much more effective if it is approached as a collaborative effort between an employee and a supervisor. Not only does an employee bring valuable insight regarding their work to the process, but their involvement helps clarify your expectations to them. Employees should understand what is expected of them and what is required at the different levels of performance.

Employees should be involved at every step of the process, but at the very least, they should be given the opportunity to give input when the plan is drafted and also be provided the opportunity to submit written accomplishments at the conclusion of rating cycles that address how critical elements were met. Take the following steps to get the most effective input from employees:

- Make sure that the reviewing official concurs with the performance plan before you set up a meeting with the employee, if required by the STAFFDIV/OPDIV.
- Use a private space and make arrangements so you can avoid interruptions.
- Take responsibility for the performance plan and for your position as supervisor.
- Consider this plan to be your first draft and explain how it came about.
- Tell the employee how you plan to appraise performance. Be honest.
- Be prepared to explain the distinction between levels of performance.
- Give the employee a copy and allow him/her time to read it.
- Encourage participation in performance planning, i.e., developing critical elements.
- See if the employee has any comments and, if so, listen and take notes. If the employee has no comments, discuss your own concerns regarding the plan.
- At the end of the meeting, give the employee time to get back with comments or suggestions-preferably in writing.
- Be ready to accept criticism. If you're prepared for criticism, you'll be less defensive.

Make sure that employee understands the job elements and performance standards. When the employee has the plan, and everyone has signed off on it, the rating period begins.

NOTE: If an employee refuses to sign the plan, it is still effected.



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Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

Which of the following is a factor in determining how to monitor performance:

- ☒ Who will collect the data
- ☒ What kind of information you are collecting
- ☐ How feedback will be provided
- ☒ Where the data will come from

Correct.

Submit

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Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

Which of the following are elements of an effective performance plan:

- ☐ Supervisor develops the plan alone
- ☒ Employees understand what is expected of them
- ☒ Outcomes support organizational goals
- ☒ Collaboration between supervisor and employee

Correct.

Submit

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The final steps in completing a performance plan are to determine how to monitor performance and check the plan. Monitoring performance is critical to performance management. As a manager, you must be able to provide ongoing appraisal to employees. Recommend the following changes:

- Determine how to collect the data objectively
- Identify ways to provide constructive, timely, meaningful feedback

The last step in the process is to check over the plan that you have written. It is a good idea to get employee input at this point in the process. Make sure your plan meets all the regulatory requirements, then share the plan with the employee and the reviewing official.

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Your understanding of the process for developing quality performance elements and standards and reviewing performance will increase your effectiveness as a manager or supervisor.

In the Performance Management course the following topics were discussed:

- The performance planning process
- Developing performance elements
- Performance rating levels
- Monitoring performance
- Checking the performance plan

Remember that performance standards and the appraisals that result from these standards affect a variety of personnel actions in the federal government. That is why it is important to develop and implement high-quality performance standards.

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Lesson Summary

Post-Test

Next, you must answer post-test questions. You will have one chance to answer each question. **The post-test will take approximately 10 minutes.** Do not start unless you're sure you can finish.

Performance Planning

Post-Test

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Question 1

Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

To be useful, performance standards should measure:

- ☒ A. Quality
- ☐ B. Effort
- ☒ C. Timeliness
- ☒ D. Manner of performance

Correct

Next Question

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Question 2

Read the following question or statement, and respond by selecting one or more options. When you're through, click the submit button to score the question.

Which of the following is true regarding performance monitoring?

- ☒ A. Part of monitoring is giving feedback to employees.
- ☐ B. Performance feedback should only be given at the end of the rating period.
- ☒ C. When determining how to monitor performance, who will collect the information needs to be considered.
- ☒ D. It is helpful to find ways to give feedback automatically.

Correct

Next Question

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Question 3

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

True/False. One of the problems with a pass/fail system is that it does not give employees enough information about their level of performance.

- ☒ A. True
- ☐ B. False.

Correct

Next Question

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Question 4

Read the following question. Your answer choices are on the left with letter identifiers. Type the letter of your answer in the box next to the appropriate option on the right. When you're through, click the submit button to score the question.

Question Text

- A. Reviewing Official**
- B. Quality Step Increase**
- C. Performance Award**
- D. Rating Official**

- A cash payment that does not increase base pay.
- Permanent increase in base pay.
- Person who assigns the summary rating, usually an employee's immediate supervisor.
- Person who approves the summary rating.

Correct.

Next Question

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Question 5

Read the following question or statement, and respond by selecting one option. When you're through, click the submit button to score the question.

True/False. HHS has established three levels of performance.

- ☐ A. True
- ☒ B. False.

Correct

Next Question

You have completed reading MODULE 1 of the Supervisors and Managers PMAP Training.

Please proceed to MODULE TWO. You will confirm that you have read both modules by clicking the link on the last page of MODULE TWO.